



PATENT  
Attorney Docket No. 07044.0002

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: )  
Kheng Chiong TAY et al. ) Group Art Unit: 2893  
Application No.: 10/766,468 ) Examiner: Matthew L. REAMES  
Filed: January 29, 2004 ) Confirmation No.: 3727  
For: SURFACE MOUNT )  
OPTOELECTRONIC COMPONENT )

**Mail Stop Amendment**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**DECLARATION UNDER 37 C.F.R. § 1.131**

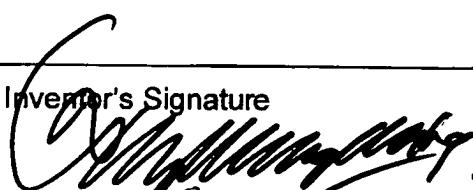
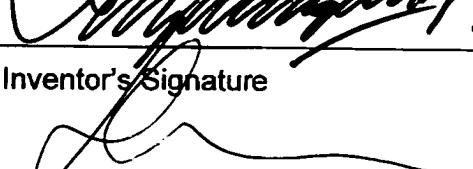
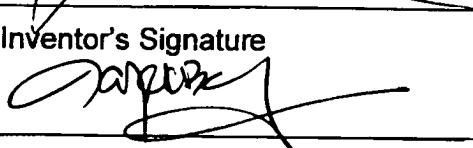
We, the undersigned, state as follows:

1. We are the named inventors of the subject matter described and claimed in the above-identified U.S. patent application ("the U.S. application").
2. We completed the invention as described and claimed in the U.S. application in Malaysia at some point before July 3, 2001. In support of this statement, we attach to this declaration a copy of counterpart Malaysian patent application no. PI 20013160 ("the Malaysian application"), for which we are the named inventors and which discloses essentially the same subject matter as the U.S. application. We further attach to this declaration a copy of the Certificate of Filing for the Malaysian application (redacted to exclude our passport numbers, which are not believed to be relevant), which shows that the Malaysian application was filed in Malaysia on July 3, 2001.

3. We made a prototype of an embodiment according to the invention as described and claimed in the U.S. application in Malaysia at some point before October 4, 2002. In support of this statement, we attach to this declaration a copy of a technical drawing (redacted to exclude unnecessary information), which is dated December 15, 2001, and which shows a view of that prototype similar to views illustrated in the U.S. application.

We declare further that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further, that the statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the U.S. application or any patents issuing thereon.

Respectfully submitted,

Full Name of First Inventor Tay Kheng Chiong	Inventor's Signature 	Date 1/12/08
Full Name of Second Inventor Lai Khin Shin	Inventor's Signature 	Date 1/12/08
Full Name of Third Inventor Low Tek Beng	Inventor's Signature 	Date 1/12/08

## SURFACE MOUNT OPTOELECTRONIC COMPONENT

### FIELD OF INVENTION

5 The invention relates to a surface mount optoelectronic component. The component is designed to be able to serve multiple modes of illumination; top, side and bottom depending on the method of mounting. The mounting connections are provided by the inherent electrically conductive base material. No mechanical forming process is required to produce the desired mounting connection. The invention is also capable of higher heat dissipation  
10 due to the thicker base material used and the heat sink incorporated into the design.

### BACKGROUND OF THE INVENTION

15 In order to fulfill the different customers' requirements, different component configurations are available in the market today. Two key physical variations normally discussed for optoelectronic components are illumination direction and lead bending.

20 For illumination direction, customers may opt for either the top or side illumination version. As the name implies, top illuminators have an illumination source on the top of the component surface while side illuminators have a source on the side of the component. The choice depends very much on the application itself. However, each of these configurations is unique in terms of physical dimension and is not interchangeable. Customers are expected to order the specific type for their needs.

As for lead bending, common versions available in the market include the J-bend, gull-wing, reverse gull-wing and etc. These are the configurations for the mounting connections onto sub-systems such as PCBs. Based on current market information; there are still no surface mount optoelectronic packages that do not require mechanical forming to create the desired 5 mounting connections.

#### BRIEF DESCRIPTION OF DRAWINGS

The drawings enclosed are as follows:

10

Figure 1A is a three-dimensional top view of the invention.

Figure 1B is a three-dimensional bottom view of the invention.

15 Figure 2 is a cross sectional view of the invention depicting the assembly consisting of base material, plastic housing, optoelectronic chip and cavity within the plastic housing which is filled by a transparent or translucent resin material.

20 Figure 3 shows the invention being mounted onto a PCB using the side protrusions as a means for electrical connection.

Figure 4 shows the invention being mounted onto a PCB, similar to Figure C but on a reverse orientation so as to provide bottom illumination.

## DETAIL DESCRIPTION OF THE INVENTION

The invention relates to a surface mount optoelectronic component.

5 With reference to the invention, the optoelectronic component is based on the surface mount technology. A thick electrically conductive material (1) is used to serve as the base for the assembly. An opaque plastic material (2) is used to provide the housing for the whole component. A cavity (5) is designed within the plastic material. An optoelectronic chip (3) is mounted within this cavity. This cavity is filled with a hard transparent or translucent resin 10 material so that optical radiation may be transmitted or received via this window. Electrical connection(s) between the chip and the base material is provided by a metallic wire (4).

Subsequent connections to the external sub-systems such as PCBs are provided by the base material itself; typically by soldering. No extra mechanical forming processes are necessary 15 to create the external connections. The base material extends all the way from the middle to the bottom (8) and to one of the side walls (7); until the extend of protruding outside the plastic package. The bottom surface (8) will be used for connection when a top illuminator is required. Alternatively, the side surface (7) could be used for connection if the component is used as a side illuminator. This feature ultimately yields a universal package design for 20 optoelectronic components where both top and side illumination capabilities are combined into one single package. The base material also protrudes to the other sides of the package (6). These protrusions act as heat sinks to improve heat dissipation from the component.

In another mounting configuration, these side protrusions (6) can also be used as a means of connection to external surfaces such as PCBs as illustrated in Figure C and D. In this case, the component will sit into the sub-system i.e. PCB and can be used for top and also bottom illumination. This mounting configuration will reduce the height profile of the component 5 above the sub-system since a portion of the component is below the sub-system's surface. The other two exposed surfaces (7) and (8) will then act as heat sinks instead when used in such manner.

Inherent in the design, no lead forming is required since the external connections are 10 provided by the base material. This feature eliminates mechanical stresses that are typically subjected to package during conventional forming processes. Consequently, the package robustness and reliability is greatly enhanced.

Another inherent feature of this invention is its relatively thicker base material compared to 15 other corresponding products in the market. This coupled with the 'heat sinks' greatly improves the package's ability to dissipate heat. Higher current or power could be applied to the devices to yield better performance.

**CLAIMS.**

1. An optoelectronic component based on the surface mount technology, said component comprising

5

a electrically conductive material (1),

*base/lead*

an opaque plastic material (2), and

10      a cavity (5),

wherein the said electrically conductive material (1) serves as a base for the assembly, the said opaque plastic material (2) provides a housing for the whole component, and the said cavity (5) is located within the plastic material where an optoelectronic chip (3) is mounted in.

15

2. An optoelectronic component as claimed in claim 1, wherein the cavity (5) is filled with a transparent and translucent resin material.

20

3. An optoelectronic component as claimed in claim 1, wherein electrical connection(s) between the chip (3) and the base material is provided with a metallic wire (4).

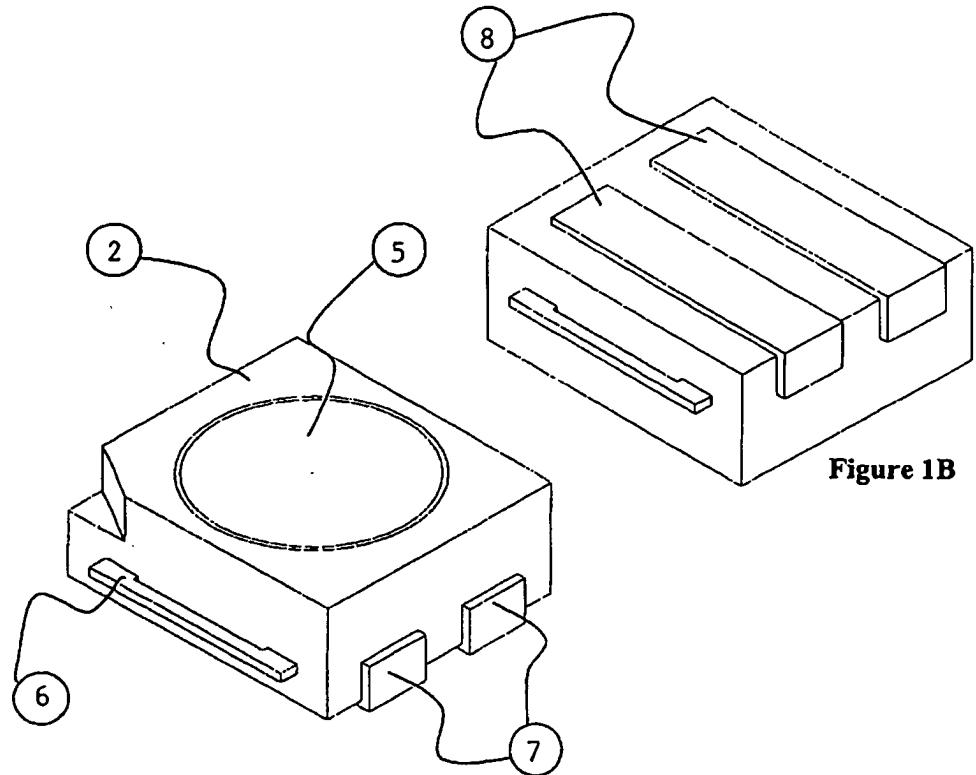
4. An optoelectronic component as claimed in claim 1, wherein initial base material provides connecting terminals to the external sub-systems such as PCBs.
5. An optoelectronic component as claimed in claim 1, wherein the said base material protrudes from the middle to the bottom (8) and to one of the sidewalls (7).
6. An optoelectronic component as claimed in claim 5, wherein the said base material protrudes outside the plastic package.
- 10 7. An optoelectronic component as claimed in claim 1, wherein the said base material protrudes to the two other sides (6) of the plastic package.
8. An optoelectronic component as claimed in claim 1, wherein the side protrusions can be used for electrical connections.

## SURFACE MOUNT OPTOELECTRONIC COMPONENT

### ABSTRACT

5 The invention relates to a surface mount optoelectronic component. A thick electrically conductive material (1) is used to serve as the base for the assembly. An opaque plastic material (2) is used to provide the housing for the whole component. A cavity (5) on the top surface is designed within the plastic material. An optoelectronic chip (3) is mounted within this cavity. This cavity is filled with a hard transparent or translucent resin material so that 10 optical radiation may be transmitted or received via this window. Electrical connection(s) between the chip and the base material is provided by a metallic wire (4). Subsequent connections to the external sub-systems such as PCB are provided by the base material itself. No extra mechanical processes are necessary to create the connections. The base material extends all the way from the middle to the bottom (8) and to one of the side walls (7); until 15 the extend of protruding outside the package. The bottom surface (8) will be used for connection when a top illuminator is required. Alternatively, the side surface (7) could be used for connection if the component is used as a side illuminator.

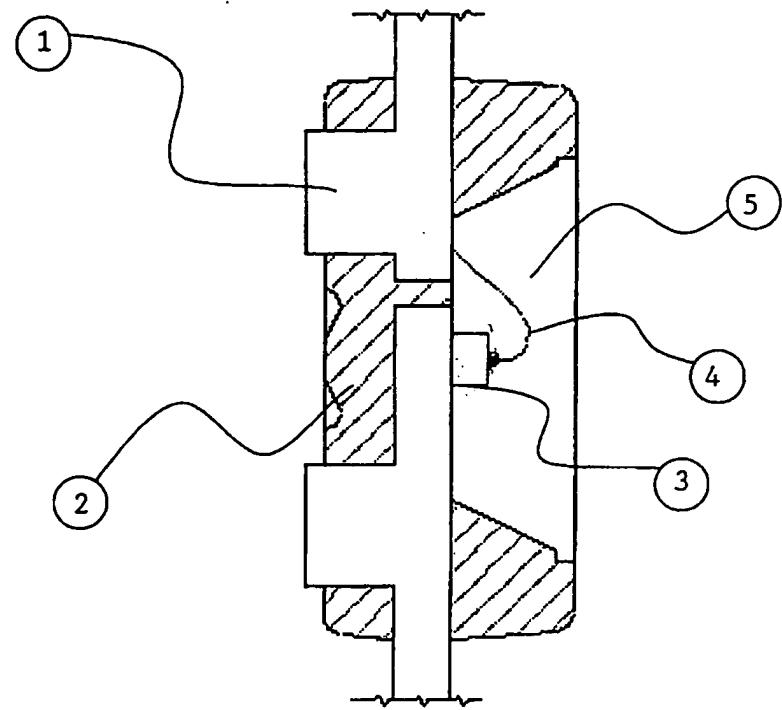
The Most Illustrative Drawing: Figure 1A



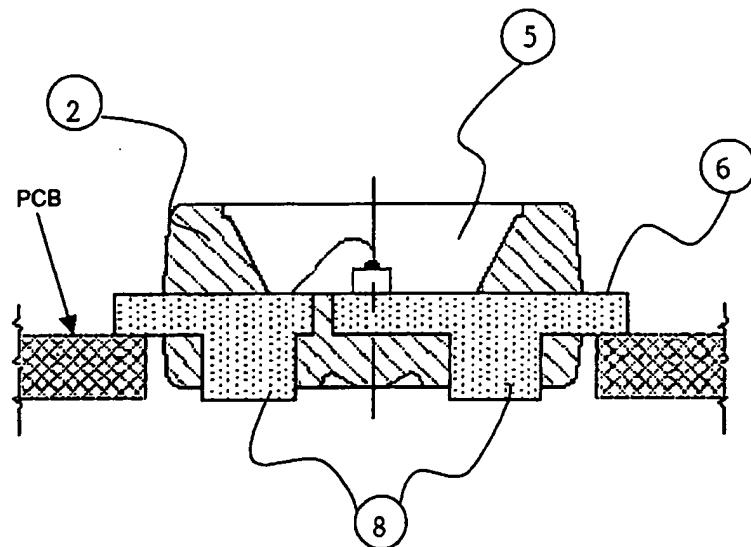
**Figure 1A**

**Figure 1B**

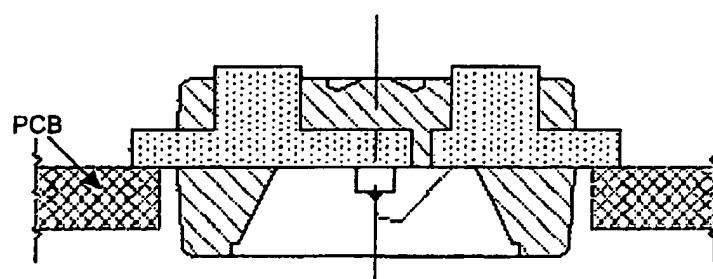
*Extension*



**Figure 2.**



**Figure 3**



**Figure 4**



KEMENTERIAN PERDAGANGAN DALAM NEGERI  
DAN HAL EHWAL PENGGUNA MALAYSIA  
BAHAGIAN HARTA INTELEK,  
TINGKAT 27 & 32,  
MENARA DAYABUMI,  
JALAN SULTAN HISHAMUDDIN,  
50623 KUALA LUMPUR.  
Ministry of Domestic Trade and Consumer Affairs Malaysia  
Intellectual Property Division.

Telefon: 03-22742100  
Fax: 03-22741332

### CERTIFICATE OF FILING

**APPLICANT** : 1) TAY KHENG CHIONG  
2) LAI KHIN SHIN  
3) LOW TEK BENG  
**APPLICATION NO.** : PI 20013160  
**REQUEST RECEIVED ON** : 03/07/2001  
**FILING DATE** : 03/07/2001  
**AGENT'S/APPLICANT'S FILE REF.** : SD/PAT/2400372/ZRS/GPE/SMS

Please find attached, a copy of the Request Form relating to the above application, with the filing date and application number marked thereon in accordance with Regulation 25(1).

Date : 13/07/2001

.....  
(Hasnon Bt. Alang Mohd Rashid)  
for Registrar of Patents

To : WONG SAI FONG  
M/s SHEARN DELAMORE & CO,  
7TH FLOOR, WISMA HAMZAH-KWONG HING,  
NO. 1, LEBOH AMPANG,  
50100-KUALA LUMPUR  
MALAYSIA



FF 09

Patents Form 1  
PATENTS ACT 1983

REQUEST FOR  
GRANT OF PATENT  
[Regulation 7(1)]

To: The Registrar of Patents  
Patent Registration Office  
Kuala Lumpur, Malaysia

FOR OFFICIAL USE

Application No. .... P1 20013160 .....

Filing date: .... 03-07-2001 .....

Request received on: .... 03-07-2001 .....

Fee received on: .... 03-07-2001 .....

Amount: .... RM 200 .....

Cheque No. .... SES 319533 .....

*Please submit this Form in duplicate*

Date of mailing: July 3, 2001

Agent's file reference:  
SD/PAT/2400372/ZRS/GPE/SMS

THE APPLICANT(S) REQUEST(S) THE GRANT OF A PATENT IN RESPECT OF THE FOLLOWING PARTICULARS.

I. TITLE OF INVENTION

**SURFACE MOUNT OPTOELECTRONIC COMPONENT**

II. APPLICANT(S)

*(The data concerning each applicant must appear in this box or, if the space is insufficient, in the space below)*

Name: 1) Tay Kheng Chiong 2) Lai Khin Shin 3) Low Tek Beng

I.C./Passport no.: 1) [REDACTED] 2) [REDACTED]  
3) [REDACTED]

Address: 1) 23, Taman Pokok Mangga, 11, 75250 Melaka, Malaysia.  
2) 33, Jalan Merbok 1/3, Taman Merbok Sek. 1,  
75450 Melaka, Malaysia.  
3) 13-A, Bukit Piatu Flats, Melaka, Malaysia.

Nationality: All the above applicants are Malaysian citizens.

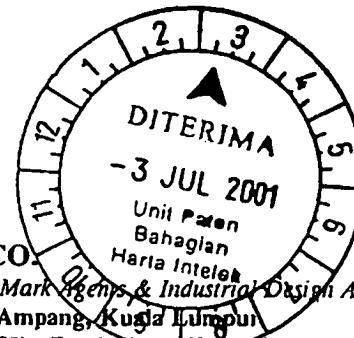
\*Permanent residence or  
principal place of business: - same as above -

Address for service in Malaysia:

**SHEARN DELAMORE & CO**  
Advocates & Solicitors, Notary Public, Registered Patent Agents, Trade Mark Agents & Industrial Design Agents  
7th Floor, Wisma Hamzah-Kwong Hing, No.1, Lebuh Ampang, Kuala Lumpur  
Telephone: 03-2300644; Telex: MA 30379 (answerback "JURES"); Facsimile: 03-2382376

Additional Information

\*Delete whichever does not apply



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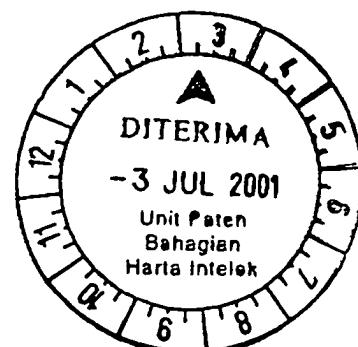
III. INVENTOR(S)

The Applicant(s) is/are the inventor(s): Yes  No

If no, the Applicant(s) hereby designate(s) the following as inventor(s):

Name \_\_\_\_\_

Address \_\_\_\_\_



Additional inventors indicated on supplementary sheet

Additional information

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**IV. AGENT OR REPRESENTATIVE**

The Applicant(s) has/have appointed a patent agent in the accompanying Yes   
Form 17 No   
Patent Agent's Registration number: PA 86/0003 and 86/0004...

Applicants have appointed .....  
to be their common representative.

**V. DIVISIONAL APPLICATION**

This application is a divisional application:   
The benefit of the filing date  and priority date  of the initial application is claimed  
in as much as the subject matter of the present application is contained in the initial  
application identified below:

Initial application number: .....  
Date of filing of initial application: .....

**VI. DISCLOSURES TO BE DISREGARDED FOR PRIOR ART PURPOSES**

(a) Disclosure was due to acts for the applicant or his predecessor-in-title   
Date of disclosure: .....

(b) Disclosure was due to the abuse of rights of applicant or his predecessor-in-title   
Date of disclosure: .....

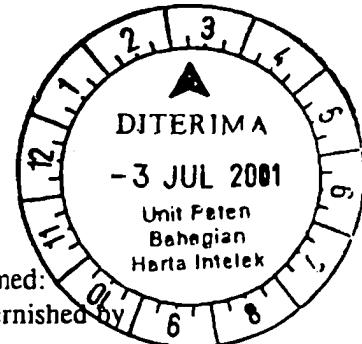
A statement specifying in more detail the facts concerning the disclosure Yes   
Accompanies this Form No

Additional information (if any)

**VII. PRIORITY CLAIM (if any)**

The priority of earlier applicant(s) is/are claimed as follows:-

Country\*      Application no.      Filing date (dd/mm/yy)



Symbol of the International Patent Classification:

If not yet allocated, please tick

The priority of more than one earlier application is claimed:

The certified copy of the earlier application(s) will be furnished by

The patent agent upon request

\*if the earlier application is a regional or international application, indicate the office with which it is filed

20013160

Additional information (if any)

VIII. CHECK LIST

A. This application contains the following:

1. Request (Form 1)	04	sheets
2. description	04	sheets
3. claim(s)	02	sheets
4. abstract	01	sheets
5. drawings (if any)	03	sheets

TOTAL **14**

B. This Form, as filed, is accompanied by the items checked below:

- a. signed Form No. 17
- b. declaration that inventor does not wish to be named in the patent
- c. statement justifying applicant's right to the patent
- d. statement that certain disclosure be disregarded
- e. priority document (certified copy of earlier application)
- f. cheque, cash, etc. .... for the payment of application fee
- g. other documents (specify)

IX. SIGNATURE



.....

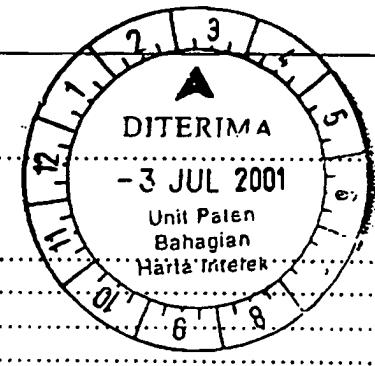
July 3, 2001

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date

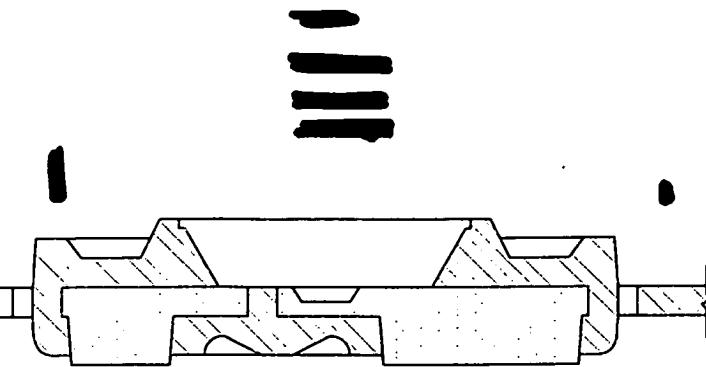
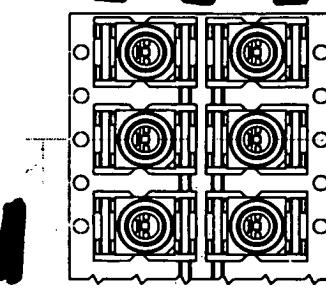
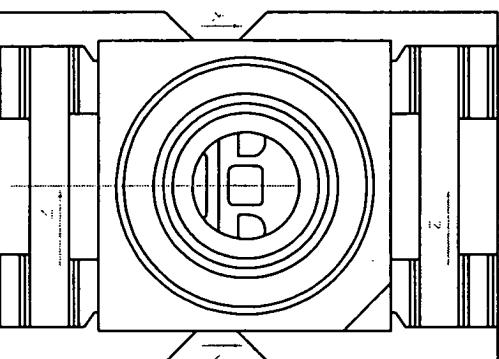
Name: WONG SAI FONG  
Regn No.: PA 86/0003

For official use:

1. Date application received: .....
2. Date of receipt of  
correction,  
later filed papers, or  
drawings  
completing the application.



20013160



Part No. 1	4-1	Scale: 4-1
Material:	1045	1045
Dimensions in mm	25.4	25.4
Date:	12-12-21	
Name:	Tool IV	
First off date:	12-12-21	
Name:	██████████	██████████
Date:		
Eng. Name:		

